

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**Docket No.  
DC10005PCT1

In Re Application Of:

HUPFIELD et. al

Application No.

Filing Date

Examiner

Customer No.

Group Art Unit

Confirmation No.

00137

Title: Substituted Aminosiloxanes and Polymeric Products

Address to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);**OR**☐ the fee set forth in 37 CFR 1.17(p).

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> <b>(Under 37 CFR 1.97(b) or 1.97(c))</b>				Docket No. DC10005PCT1	
In Re Application: <span style="float: right;">HUPFIELD et. al</span>					
Application No.	Filing Date	Examiner	Customer No.  00137	Group Art Unit	Confirmation No.
Title: Substituted Aminosiloxanes and Polymeric Products					
<div style="text-align: center;"> <b>Payment of Fee</b>          (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))       </div> <div style="margin-top: 10px;"> <input type="checkbox"/> A check in the amount of _____ is attached.  <input type="checkbox"/> The Director is hereby authorized to charge and credit Deposit Account No. 04-1520 as described below.         </div> <div style="margin-left: 40px; margin-top: 10px;"> <input type="checkbox"/> Charge the amount of _____ \$  <input type="checkbox"/> Credit any overpayment.  <input type="checkbox"/> Charge any additional fee required.         </div> <div style="margin-top: 10px;"> <input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.         </div> <div style="margin-top: 10px;"> <b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b> </div> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 48%;"> <p style="text-align: center;"><b>Certificate of Transmission by Facsimile*</b></p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">           I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)         </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">           _____            (Date)         </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">           _____            Signature         </div> <div style="border: 1px solid black; padding: 5px;">           _____            Typed or Printed Name of Person Signing Certificate         </div> </div> <div style="width: 48%;"> <p style="text-align: center;"><b>Certificate of Mailing by First Class Mail</b></p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">           I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a) _____]         </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">           _____            (Date)         </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">           _____            Signature of Person Mailing Correspondence            Christine M. Fitak         </div> <div style="border: 1px solid black; padding: 5px;">           _____            Typed or Printed Name of Person Mailing Certificate         </div> </div> </div> <div style="margin-top: 10px;"> <b>*This certificate may only be used if paying by deposit account.</b> </div> <div style="margin-top: 20px;"> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <div style="border-top: 1px solid black; width: 100%;"></div> <div style="text-align: center; margin-top: 5px;">             Signature <span style="margin-left: 50px;">8-31-2004</span> </div> </div> <div style="width: 45%;">             Dated: _____               CustomerNumber 00137           </div> </div> </div> <div style="margin-top: 20px;">           Alan Zombeck            Reg. No. 45,260            989-496-3101            Patent Agent            Mail Number C01232            P.O. Box 994            2200 W. Salzburg Road            Midland, MI 48686-0994            UNITED STATES OF AMERICA         </div> <div style="margin-top: 20px;">           cc:         </div>					

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**Complete if Known**

Application Number	
Filing Date	
First Named Inventor	HUPFIELD
Art Unit	
Examiner Name	
Attorney Docket Number	DC10005 PCT1

**(Use as many sheets as necessary)**

Sheet 1 of 1

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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> , Number <sup>4</sup> , Kind Code <sup>5</sup> (if known)				
		WO 2004/069955	08/19/2004	Daikin Industries		
		WO 2004/069935	08/19/2004	Daikin Industries		
		WO 2003/016380	02/27/2003	Dow Corning Corp.		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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